

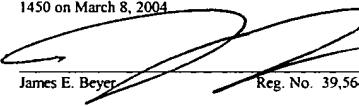


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

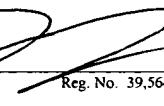
Application of

Applicants : Nippa et al.  
Serial No. : 10/719,892  
Filed : November 21, 2003  
Title : EMBEDDED ELECTRODE INTEGRATED OPTICAL DEVICES AND  
METHODS OF FABRICATION  
Docket : OPI 0004 PA/41004.11  
Art Unit : 2874

CERTIFICATE OF MAILING  
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James E. Beyer



Reg. No. 39,564

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §§ 1.56, 1.97, AND 1.98

Applicants submit herewith patents, publications, and other information of which they are aware, which they believe may be material, as defined in 37 CFR §1.56(b), to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56(a). While the information referred to in this Information Disclosure Statement may be material pursuant to 37 CFR §1.56(b), the filing of this Information Disclosure Statement is not intended to, pursuant to 37 CFR §1.97(h), constitute an admission that any patent, publication, or other information referred to is, or is considered to be, material to the patentability of this invention. No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103, and Applicant(s) reserves the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish otherwise. Further, pursuant to 37 CFR §1.97(g), the filing of this Statement should not be construed as a statement that a search has been made or that no other material information exists.

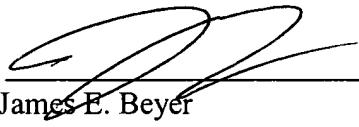
Serial No. 10/719,892  
Docket No. OPI 0004 PA/41004.11

This Information Disclosure Statement is being filed within the period set forth in 37 CFR §1.97(b) because it is believed to be filed before the mailing date of a first office action on the merits.

The Office has waived the requirement pursuant to 37 CFR 1.98 (a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003 and for all international applications that have entered the national stage under 35 USC § 371 after June 30, 2003. Therefore, no copies of each cited U.S. patent and each cited U.S. patent application publication are enclosed, but the cited U.S. patents and the cited U.S. patent application publications are listed on PTO/SB/08A.

Respectfully submitted,  
DINSMORE & SHOHL LLP

By

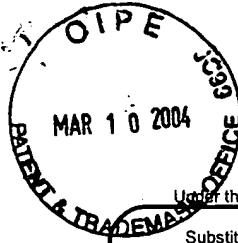


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Sheet

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of

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## Complete if Known

Application Number	10/719,892
Filing Date	November 21, 2003
First Named Inventor	David W. Nippa
Art Unit	2874
Examiner Name	

Attorney Docket Number OPI 0004 PA/41004.11

## U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 3,558,213	01/26/1971	Marcatili	
		US- 3,589,794	06/29/1971	Marcatili	
		US- 3,850,503	11/26/1974	Riseberg et al.	
		US- 4,070,094	01/24/1978	Martin	
		US- 4,730,171	03/08/1988	So et al.	
		US- 4,737,014	04/12/1988	Green	
		US- 4,884,858	12/05/1989	Ushikubo et al.	
		US- 4,896,930	01/30/1999	Tsuchitani et al.	
		US- 4,936,645	06/26/1990	Yoon et al.	
		US- 5,045,364	09/03/1991	Fang	
		US- 5,078,511	01/07/1992	Noll et al.	
		US- 5,138,687	08/11/1992	Horie et al.	
		US- 5,151,959	09/29/1992	Mueller et al.	
		US- 5,243,680	09/07/1993	Soane	
		US- 5,315,422	05/24/1994	Utaka et al.	
		US- 5,513,283	04/30/1996	Whang et al.	
		US- 5,533,151	07/02/1996	Leonard	
		US- 5,546,480	08/13/1996	Leonard	
		US- 5,581,642	12/03/1996	Deacon et al.	

## FOREIGN PATENT DOCUMENTS

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		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		EP 0335672 A	10/04/1989	Nippon Electric Co.		
		GB 2236402 A	04/03/1991	Marconi GFC Ltd.		
		EP 0513919 A	11/19/1992	Nederland PTT		
		JP 05 323243 (Abstract)	12/07/1993	Nippon		
		JP 09 090299 (Abstract)	04/04/1997	Nippon		
		EP 0898348 A	02/24/1999	Nippon Electric Co.		

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Sheet

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of

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Application Number	10/719,892
Filing Date	November 21, 2003
First Named Inventor	David W. Nippa
Art Unit	2874
Examiner Name	

Attorney Docket Number OPI 0004 PA/41004.11

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		US- 5,659,010	08/19/1997	Sotoyama et al.	
		US- 5,703,710	12/30/1997	Brinkman et al.	
		US- 5,724,461	03/03/1998	Bruno et al.	
		US- 5,732,177	03/24/1998	Deacon et al.	
		US- 5,751,867	05/12/1998	Schaffner et al.	
		US- 5,818,983	10/06/1998	Yoshimura et al.	
		US- 5,822,100	10/13/1998	Robinson et al.	
		US- 5,825,525	10/20/1998	Harwit	
		US- 5,835,644	11/10/1998	Oh et al.	
		US- 5,854,866	12/29/1998	Leonard	
		US- 5,857,039	01/05/1999	Bosc et al.	
		US- 5,862,276	01/19/1999	Karras	
		US- 5,887,089	03/23/1999	Deacon et al.	
		US- 5,894,532	04/13/1999	Moores	
		US- 5,970,186	10/19/1999	Kenney et al.	
		US- 6,022,671	02/08/2000	Binkley et al.	
		US- 6,028,973	02/22/2000	Schienle et al.	
		US- 6,046,839	04/04/2000	Ito et al.	
		US- 6,137,619	10/24/2000	Chen et al.	

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		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
		WO 03/010592 A2	02/06/2003	Battelle Memorial		
		WO 03/012532 A2	02/13/2003	Digilens, Inc.		

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>				Application Number	10/719,892
				Filing Date	November 21, 2003
				First Named Inventor	David W. Nippa
				Art Unit	2874
				Examiner Name	
Sheet	3	of	5	Attorney Docket Number	OPI 0004 PA/41004.11

**U. S. PATENT DOCUMENTS**

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				Art Unit	2874
				Examiner Name	
Sheet	4	of	5	Attorney Docket Number	OPI 0004 PA/41004.11

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	<sup>2</sup> T
		SCHILAKK, Modulation Behaviour of Integrated Optical Couplers, Journal of Optical Communications, 1984, 122-131	
		MARCATILI, Dielectric Rectangular Waveguide and Directional Coupler for Integrated Optics, Bell Syst. tech. J., Vol 48, pp. 22-111, September 1969	
		THEMISTOS et al., Design Considerations for an Electrooptic Directional Coupler Modulator, Journal of Lightwave Technology, Vol. 17, No. 4, April 1999	
		KAPLAN et al., Layout For Polarization Insensitive Modulation In LiNbO <sub>3</sub> Waveguides; IEEE Journal of Selected Topics In Quantum Electronics; 01/2000; pgs. 83-87; Vol 6 No. 1; IEEE; Israel	
		DUTHIE et al., A Polarization Independent Guided-Wave LiNbO <sub>3</sub> Electrooptic Switch Employing Polarization Diversity; IEEE Photonics Technology Letters, pp. 136-137, Vol. 3, No. 2; February 1991	
		SAIDA et al., Planer Lightwave Circuit Polarization-Mode Dispersion Compensator; IEEE Photonics Technology Letters, pp. 507-509; Vol. 14, No. 4; April 2002	
		LIAO et al.; Design and Fabrication of Wide-Angle TE-TM Mode Splitter in Lithium Niobate; IEEE Journal of Selected Topics in Quantum Electronics; pp. 88-93; Vol. 6, No. 1.; January/February 2000	
		HU et al.; Tunable Mach-Zehnder Polarization Splitter Using Height-Tapered Y-Brances; 1997; pp. 773-775	
		Interferometric-Type Polarisation Splitter On Z-Propagating LiNbO <sub>3</sub> ; Ti; Electronics Letters; 1990	
		OH HYUN-HO et al.; Polarization-Independent Phase Modulator Using Electro-optic Polymer; Electronics Letters, IEE Stevenage, GB, Vol. 36, No. 11; 25 May 2000; pp. 969-970	

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Sheet 5 of 5 Attorney Docket Number OPI 0004 PA/41004.11

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		YOSHITO SHUTO et al.; Optical Intensity Modulators Using Diazo-Dye Substituted Polymer Channel Waveguides; IEEE Journal of Quantum Electronics, IEEE Inc., Vol. 31, No. 8, 1 August 1995, pps. 1451-1460	
		MUTO S. et al.; Slab Waveguide-Type Optical Modulators Using Optically Active and Nonlinear Polymers; Molecular Crystals and Liquid Crystals Science and Technology Section B; Nonlinear Optics; Vol. 22, No. 1-4, 1999, pps. 449-452	
		PARKER et al.; Multiple-Order PMD Compensation Using a Single Activity Chirped AWG; Proceedings 27th European Conference on Optical Communication; Amsterdam; Netherlands; 30 September - 4 October 2001; Vol. 3, 30 September 2001; pps. 424-425	
		HOROWITZ et al.; Towards Better Control of Sol-Gel Film Processing For Optical Device Applications; Journal of Nonlinear Optical Physics and Materials; 1997; Vol. 6, No. 1; pps. 1-18; World Scientific Publishing Company	

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